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**FITNESS REPORT FORMS**

1949 through 1961

<u>Date Used</u>	<u>Form Number and Title</u>	<u>Purpose</u>	<u>Tab</u>
1949 - 52	Report of Efficiency Rating, Civil Service Form 51	Efficiency Rating Form for Headquarters Personnel	A-1
	Status and Efficiency Report, Agency Form 51-53	Fitness, Qualification, and Assignment Preference Report for Field Personnel	A-2
Aug 52 Sep 54	Personnel Evaluation Report, Form 37-151	Fitness Report and Career Planning Document - All Personnel	A-3
Mar 54 Dec 55	Career Selection Report Form 37-189	Fitness Report and To Provide Information in Connection with Selection of Employee into the Career Staff	A-4
	Fitness Report Form 45 (1-55)	Same	A-5
Jan 56 Dec 58	Fitness Report (Two Part Form) Form 45 (11-55)	Fitness Report on Performance Combined with Analysis of Potential. Latter Part of Form Not Shown to Employee	A-6
Jan 59 to Present	Fitness Report Form 45 (8-58)	Current Fitness Report Form	A-7

NOTE: Copies of the above forms are available in Plans Staff, 262 Curie, if desired. Because of bulk, they have not been attached as tabs to this study.

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## STUDY OF FITNESS REPORTING

### 1. Approach Used

25X9 A study of the effectiveness of the current Fitness Reporting System was accomplished through the examination of a representative sample of 300 Fitness Reports completed during 1960 and through the review of comments and suggestions on fitness reporting received voluntarily or upon request from supervisors, personnel officers, and employees. In addition, the statistical distribution of ratings on overall performance for [ ] reports prepared during 1960 was tabulated and analyzed. The conclusions of this review and the suggestions advanced to correct deficiencies noted are set forth in the following sections.

### 2. Rating Standards

A. Tabulations of the distribution of fitness report ratings on Performance of Specific Duties, Overall Performance and Description of the Employee are presented in Tabs B-1, 2, 3 and 4. They show the following:

#### (1) Performance of Specific Duties

The ratings given to three specific duties were used for this analysis. The profiles for the three major directorates show a very close similarity in the use of the seven degree rating scale (Tab B-1). Rating Number One, Unsatisfactory, was not used at all, and Rating Number Seven, Outstanding, was used to a remarkably close degree. The percentage of use of Ratings Three, Four, Five and Six were very close for the DD/I and DD/P whereas in the DD/S area lower ratings were given. A comparative distribution of the ratings of the first three specific duties of a proportionate sample from each of the individual career services of the three major directorates is presented in Tab B-4. This reveals the same pattern as mentioned immediately above. This analysis also included a breakdown by the following grade groupings: GS 6-8; GS 9-11; and GS 12-13. A direct relationship of higher ratings for higher grades was evident.

## (2) Overall Performance in Current Position

Rating of Overall Performance employed the use of a six-degree rating scale. As in the case of the seven-degree scale used for rating Specific Performance, Rating Number One was used extremely infrequently (Tab B-2). While there was a high degree of similarity in the profiles for the grade groupings GS 6-8 and GS 9-11, it was again evident that the higher the grade the higher the frequency of higher ratings.

The distribution of Overall Ratings by major directorate was very similar to those for Specific Performance. The DD/I and DD/P assigned more ratings at the two higher levels of rating, Superior and Outstanding, than the DD/S; however, the three directorates compare very closely when the three top levels of rating are combined.

## (3) Description of the Employee

A five-degree rating scale was used for this purpose. Tab B-3 shows a high degree of similarity in the assignment of ratings both when viewed from a Career Service standpoint and from a grade grouping standpoint. The highest rating, Five, Outstanding, was assigned to approximately twenty percent of the items rated. This is a considerably greater use of the Outstanding Rating for this purpose than in the evaluation of the Performance of Specific Duties or Overall Performance. Characteristic of this analysis the individual DD/I and DD/P Career Services employed the two higher ratings, Above Average Degree and Outstanding Degree, more frequently than those of the DD/S, (Tab B-4).

## (4) The averages for all ratings for each of these rating categories are as follows:

<u>Rating Category</u>	<u>Rating Scale</u>	<u>Agency Average</u>
	(Seven Degree Scale)	
Specific Duties	4 Competent 5 Excellent 6 Superior	5.0 Excellent
	(Six Degree Scale)	
Overall Performance	4 Clearly Exceeds Requirements 5 Superior in Every Important Respect	4.3
	(Five Degree Scale)	
Description of the Employee	3 Normal Degree 4 Above Average 5 Outstanding	4.0 Above Average

B. The nature of the distribution of Fitness Report ratings and averages in the foregoing might raise questions and point to conclusions such as the following:

- (1) The use of three separate rating scales of five, six and seven degrees makes it difficult for a supervisor to apply standards clearly and uniformly to the three separate rating categories used in the report.
- (2) In the use of Fitness Reports for personnel management purposes, a difficulty, similar to that in (1) above, exists causing management officials to usually focus on the rating for Overall Performance, and the narrative statement in their interpretation of a Fitness Report.
- (3) Inasmuch as the performance of nearly all Agency personnel clearly or greatly exceeds the requirements of their positions, are our people overqualified for the work? Or, are our standards of performance established too low? Or, is the terminology used for our rating standards confusing and unclear? (We have long maintained that our qualifications standards are high and the requirements of most of our work difficult and demanding.)
- (4) Reviewing Officials may be encouraging unrealistic rating practices by their failure to play an active role in the application of rating standards and contribution to the evaluation of the individual.
- (5) Rating officials may be inadequately trained in the important supervisory function of employee evaluation and fitness reporting.

C. Although some validity may be accorded to each of the above possible conclusions, there are a number of extenuating circumstances which also must be given careful consideration in any attempt to improve our rating practices:

- (1) Difficulties<sup>4</sup> in stating, understanding and interpreting rating standards is not limited to CIA but has long existed in other agencies, the military services and in private organizations. Despite constant efforts to achieve valid rating programs, no one system has yet emerged as conspicuously successful. Our current fitness report form is generally regarded as superior to or at least as good as any previously used.
- (2) In CIA, it is difficult to provide adequate recognition for individuals who perform well. The Fitness Report thus serves an important purpose of recognizing on the record good or exceptional achievement and performance. The trend, understandably, has been to take a liberal approach in the interest of management-employee relations. This approach has been justified particularly for small overseas units where close and harmonious supervisor-employee association is imperative to successful operation.

- (3) Most Agency assignments do not lend themselves to precise definition and description nor to the establishment of formal standards of performance. Characteristically, our system has long recognized that the capabilities of the individual influence what his position, its requirements, and frequently, the grade level will be. Thus, the individual and the job are more nearly synonymous in CIA than in most organizations, a fact which complicates the use of job requirements as a standard for measuring effectiveness of performance.
- (4) Preplexing problems have arisen when Career Service officials have sought to take adverse action against an employee frankly acknowledged to be substandard but whose Fitness Report faithfully documents his performance and capability over the years as consistently distinguished.
- (5) In recognition of the need for improving existing employee evaluation practices, several of our Career Service Heads and operating officials have made and are making genuine and aggressive efforts to obtain realistic ratings. Some successes have been achieved, but a unified, Agency-wide effort in this respect has not been undertaken.

The above characteristics of fitness reporting in the Agency have been taken into account in developing the proposal which follows for revising the fitness reporting program. Early in our review, we concluded that it would be preferable and more acceptable to employees and supervisors alike to institute revised standards and practices coupled with the introduction of a substantially new fitness report form rather than attempting major readjustments in rating while continuing to use the existing rating scales and form.

### 3. Numerical Rating Scales

The current Fitness Report Form, Tab B-5, uses separate and independently defined rating scales for evaluating performance of Specific Duties, Overall Performance, and Employee Characteristics in Sections B, C and D, respectively. The scales have seven, six, and five degrees of discrimination in order to eliminate standardization or direct comparison between the respective factors rated. In practice, however, the variance in rating scales and the necessity to use a different adjectival or descriptive definition of the scale for each part of the Fitness Report have caused complications and misunderstandings and detracted from the acceptance of the Report. Some of the complications may have resulted from the fact that, based on a strict comparison of the degree definitions, there are literally nine (9) distinguishable degrees of ratings now in use.

<u>Degree</u>	<u>Section B</u> <u>Specific Duties</u>	<u>Section C</u> <u>Overall Performance</u>	<u>Section D</u> <u>Employee Characteristics</u>
1.	Unsatisfactory (1)	Fails to Meet Requirements (1)	Least Possible Degree (1)
2.	Barely Adequate (2)	.....	Limited Degree (2)
3.	.....	Meets Most Requirements; Deficient in One or More Important respects (2)	.....
4.	Acceptable (3)	.....	.....
5.	Competent (4)	Meets Basic Requirements (3)	Normal Degree (3)
6.	.....	Exceeds Basic Requirements (4)	Above Average (4)
7.	Excellent (5)	.....	.....
8.	Superior (6)	Superior (5)	.....
9.	Outstanding (7)	Outstanding (6)	Outstanding (5)

Comments received from supervisors, personnel officers, and employees (including several independent employee suggestions submitted under the Suggestions Awards Program) favor simplification and standardization of the rating scale. Accordingly the revised rating scale proposed in Section B is designed to eliminate difficulties occasioned by the incongruous rating scales in the present form.

#### 4. Content and Format of the Fitness Report

The following paragraphs summarize findings with respect to the effectiveness of the various major sections of the Current Fitness Report, Form 45, Tab 5, and outline recommended changes. A revised Form 45, incorporating the changes, is attached as Tab B-6.

##### (1) Section A - General Form 45

This section covers basic data identifying the employee and and his status. Changes are required to indicate category of employee to replace section currently titled "Career Staff Status".

(2) There was general agreement that specific major duties warrant individual evaluation on an adjective scale, but the current seven degree rating must be simplified. There was also a proposal that each specific duty receive a narrative evaluation. A five degree



scale has been provided in the proposed form, however, a narrative evaluation of specific duties is not planned. The revised instructions state that a rater may use Section C, Narrative Description of Job Performance (proposed form) for comments regarding a specific duty by direct reference to that duty.

(3) Section C - Evaluation of Overall Performance

The consensus was that an adjective rating scale for evaluating overall performance was essential to the purposes a fitness report should serve in the Agency. Most comments received emphasized that it should be made clear that each employee is being compared with others of similar level and type of work in CIA as well as against his job--not with the population at large. This comparison can only be made within a framework of the rater's knowledge of other people doing similar work. The same five-degree rating scale that is used for the rating of specific duties is also to be used for overall performance. In addition, the instructions provide for comment in the narrative on the relative performance of the person being rated with other people known to the rater doing similar work.

(4) Section D - Description of the Employee

The weight of opinion by users of the Report is that the ratings of specific characteristics are not very meaningful and could well be discontinued. It was pointed out that such characteristics as "Gets Things Done", "Resourceful", "Writes Effectively", and the like would, if applicable to the job performed, be considered in the level of rating accorded specific duties and also in the narrative evaluations of performance. Accordingly, the purpose of this section might be served equally well if the Fitness Report directions (Tab B-7) include instructions to the following effect:

"In the evaluation of the manner of performance of specific duties and overall job performance, the following factors will be considered and specifically commented upon when they are considered of significance in the job:

Productivity	Mobility
Decisiveness	Records Discipline
Resourcefulness	Versatility
Supervisory Effectiveness	Cost Consciousness
Ability to Think Clearly	
Acceptance of Responsibility	
Effectiveness of Written Expression	
Effectiveness of Oral Expression	

Section D could then be eliminated, and the report thereby simplified without losing any vital elements.

(5) Section E - Narrative Description of Manner of Job Performance

This narrative section is acknowledged by virtually all users as the most informative and reliable part of the Fitness Report. Its retention is unanimously desired. In fact, several suggestions were to expand this section by providing additional space and establishing separate subsections to assure receipt of narrative comments on items such as strengths, weaknesses, potential, recommended training and future assignments, and suitability for overseas. It will be noted that this type of approach was used for several years by the Agency, Form 37-151, May 1952, Tab A-3, and to a lesser degree on succeeding report forms. The approach was abandoned, however, by the Council Task Force in developing the current form. The Task Force reasoned that greater flexibility and more useful narrative information would result if we do not force raters into following a rigid pattern but merely provide guide lines as to coverage. Results since then have proven generally satisfactory and support the Task Force position. However, as a further improvement it is considered desirable to require descriptions in this section of supervisory and management responsibilities in addition to their being listed and rated among Specific Duties in Section B.

Raters will be expected to sum up characteristics of performance--in comparison to job requirements and in relation to that of other individuals doing similar work--and will include information on personal characteristics, qualifications, potential for future job assignments, and training or developmental assignments recommended.

(6) Section F - Certification and Comments

Few comments or suggestions were received as to the use or continuance of this section. It was found that the subsection which provides that the supervisor return the blank form with explanation when a report is not being made was serving little useful purpose and can be eliminated to save paper work. The same effect can be achieved through using other sections of the report for this purpose. The proposed instructions will so indicate.

In Section D, 1 space has been provided for the person being rated to check a box to indicate that he has attached a memorandum regarding the report, should he desire to submit one.

In the subsection providing for Certifications and Comments by the Reviewing Official, it is noted that in about 96% of the cases, the Reviewing Official would have given the employee about the same evaluation; in 1% the Reviewing Official would have rated the employee higher; in 1% lower. In 2% of the cases, the Reviewing Official was not sufficiently familiar with the employee's

performance to evaluate. In only about 10% of the 96% did the Reviewing Official make comments which could be judged as contributing substantially to the usefulness of the report.

The role of the Reviewing Official and his accountability for endorsement of Fitness Report ratings have not been strongly emphasized in most parts of the Agency. We believe that more positive action by the Reviewing Official will greatly help in achieving a realistic rating program, and accordingly recommend that a narrative evaluation by the Reviewing Officer be encouraged. In the new Section D-3 we would hope that the Reviewing Officer will state why he would give the employee the same or different evaluation and amplify the rating official's comments on the employee's overall evaluation. Present procedures for resolving wide divergencies of opinion between rater and reviewer by the Director of Personnel and the head of the Career Service concerned and for notifying employees would be continued.

5. Proposed Fitness Report Form (Tab 6)

Recommendations made in the preceding Section 4 are incorporated in the form together with the basic instructions considered necessary. This form will be supplemented by a more detailed Instruction (Tab 7).

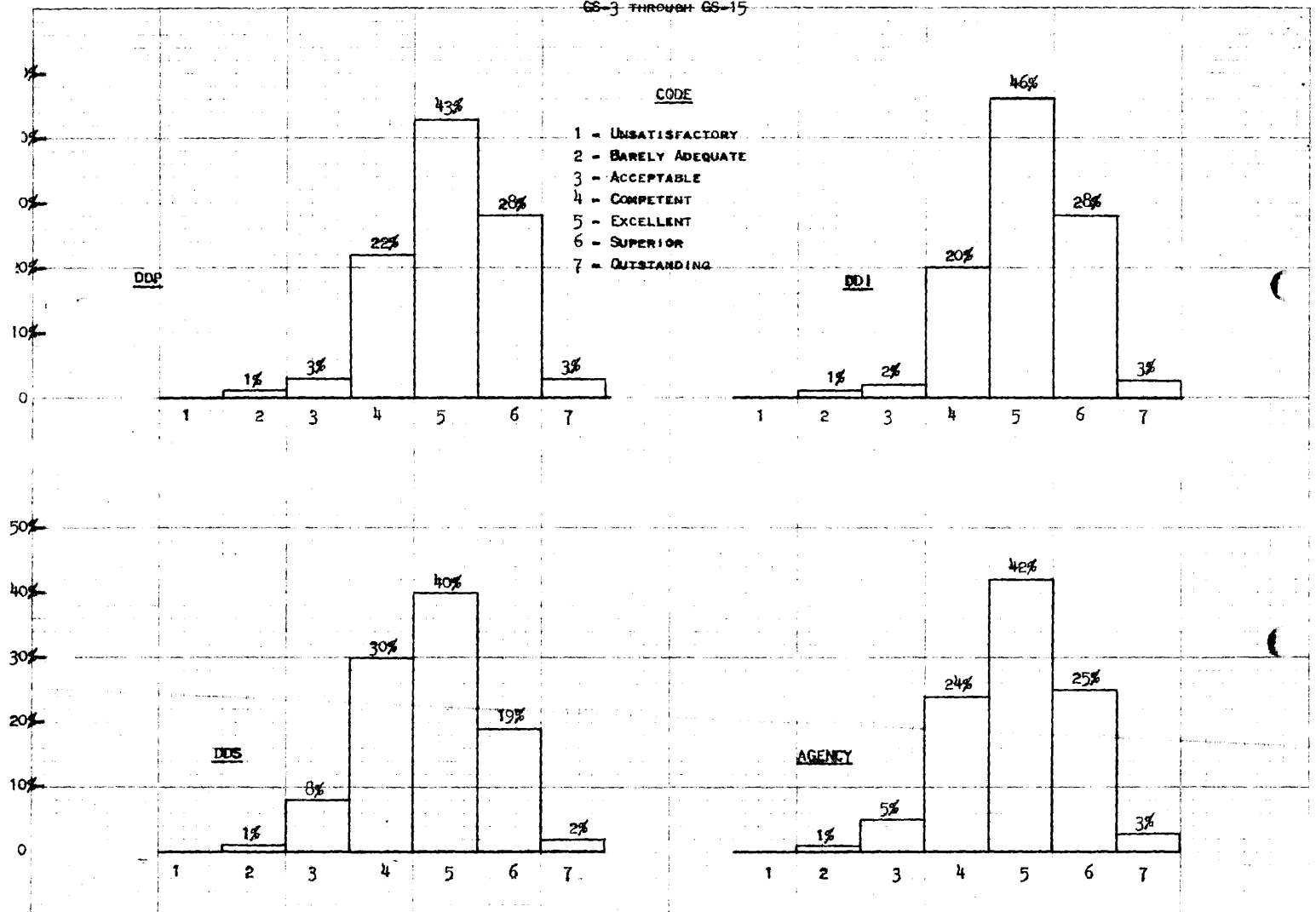
6. Fitness Report Procedures

Regulation  Fitness Report, established current procedures which are consistent with the recommendations of this study. The scheduling of reports by grade groups with timing related to promotion considerations has been found to be useful. The use of memorandum in lieu of Fitness Report for GS-14 and above personnel is recommended with the understanding that the content of the memorandum will be generally consistent with the evaluations called for in the revised Fitness Report Form.

- Tab 1 - Evaluation of Specific Duties
- Tab 2 - Evaluation of Overall Performance in Current Position
- Tab 3 - Description of Employee
- Tab 4 - Tabulation of Fitness Report Ratings by Career Service & Grade
- Tab 5 - Current Form 45
- Tab 6 - Proposed Form 45
- Tab 7 - Instructions for Fitness Report

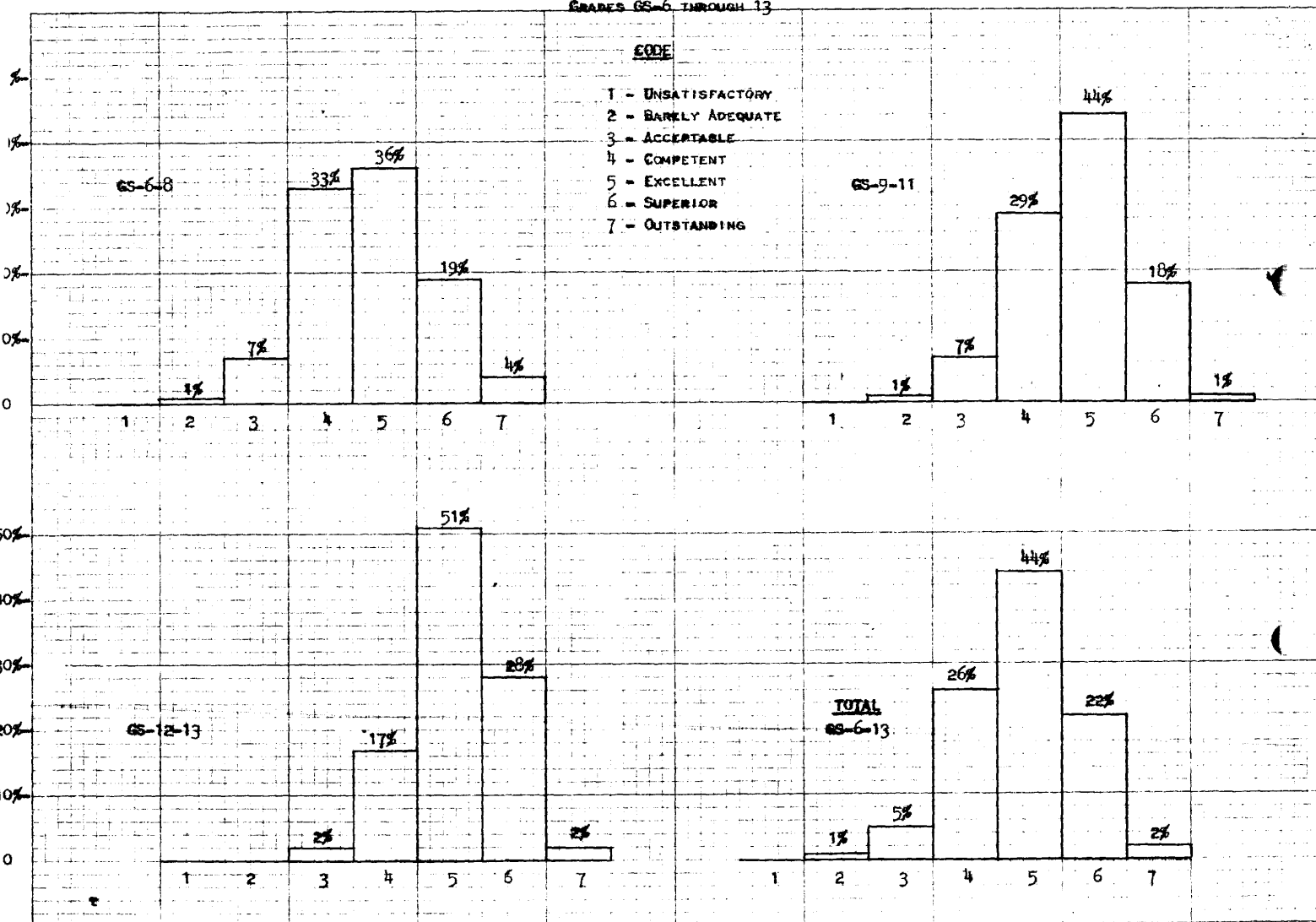
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DISTRIBUTION OF FITNESS REPORT RATINGS BY CAREER SERVICE FOR 3 SPECIFIC DUTIES  
GS-3 THROUGH GS-15



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 DISTRIBUTION OF FITNESS REPORT RATINGS FOR 3 SPECIFIC DUTIES  
 GRADES GS-6 THROUGH 13

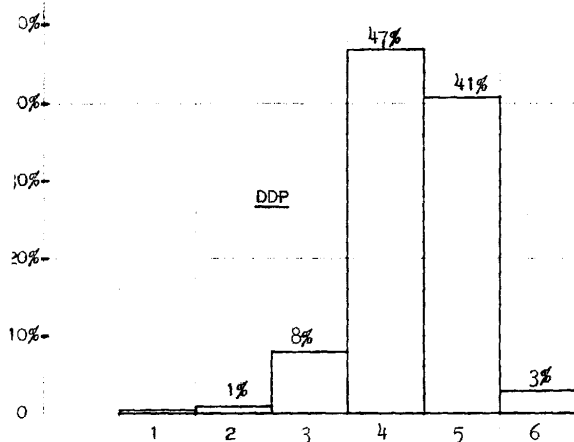


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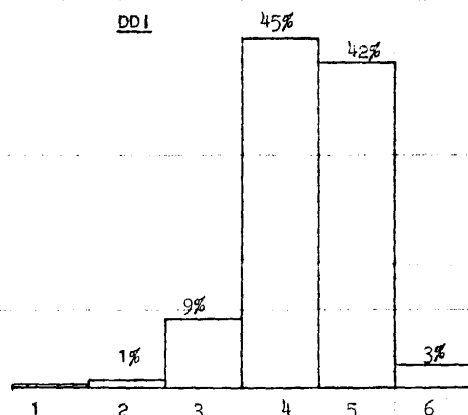
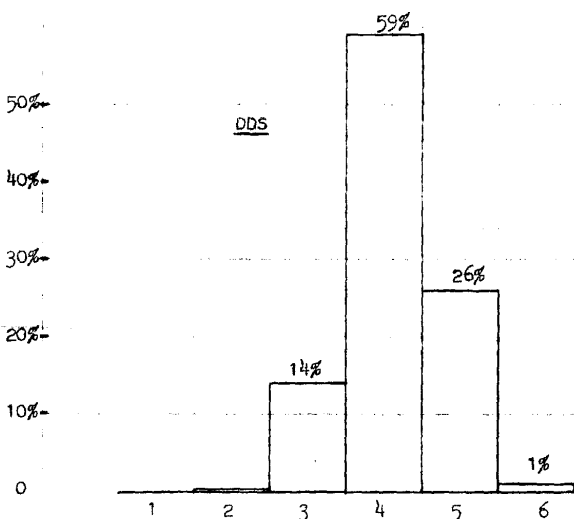
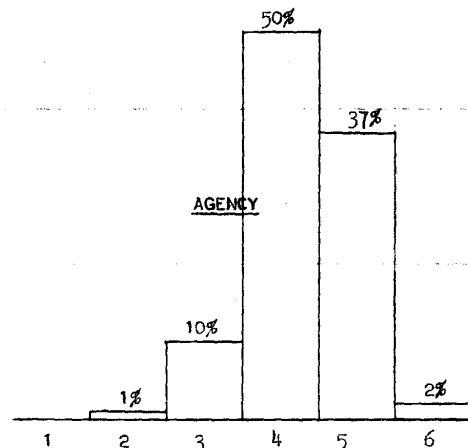
%  
EMPLOYEES

% DISTRIBUTION OF 1960 FITNESS REPORT RATINGS  
BY DIRECTORATE CAREER SERVICE  
OVER-ALL PERFORMANCE



CODE

- 1 - FAILS TO MEET REQUIREMENTS
- 2 - DEFICIENT IN ONE OR MORE IMPORTANT RESPECTS
- 3 - MEETS BASIC REQUIREMENTS
- 4 - EXCEEDS BASIC REQUIREMENTS
- 5 - SUPERIOR
- 6 - OUTSTANDING



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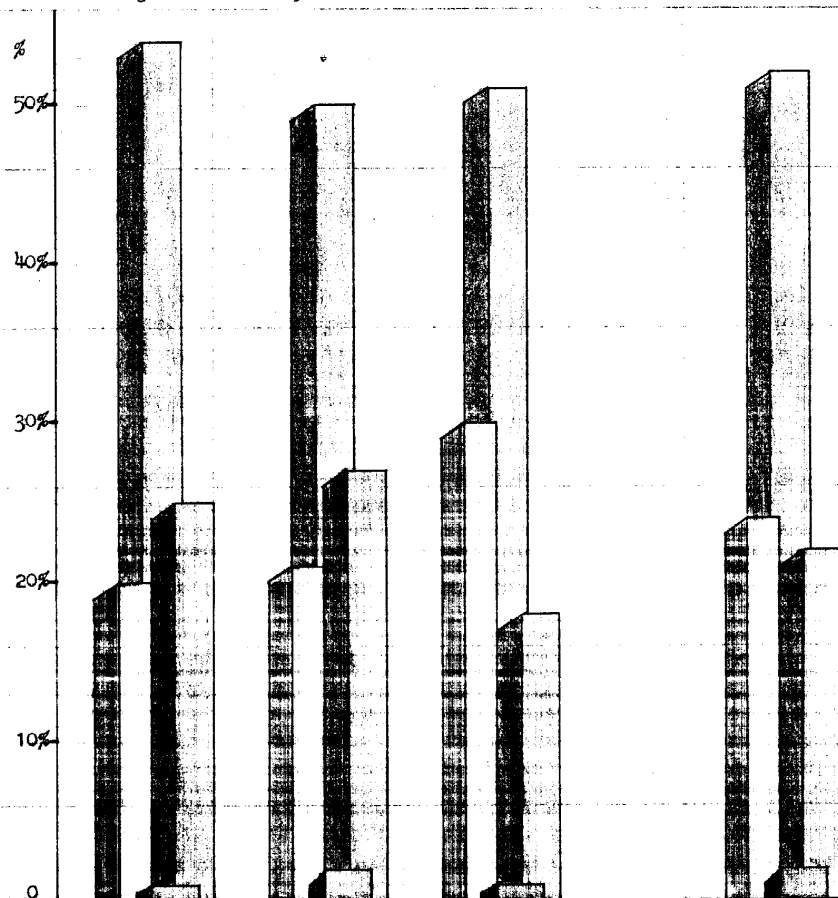
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 Approved For Release 2006/10/17 : CIA-RDP82-00357R000700010002-5  
 DISTRIBUTION BY CAREER SERVICE GROUP FITNESS REPORT DATA FOR GS-3 THROUGH GS-15

**SECTION D**



RATING 1 - LEAST POSSIBLE DEGREE  
 RATING 2 - LIMITED DEGREE  
 RATING 3 - NORMAL DEGREE  
 RATING 4 - ABOVE AVERAGE DEGREE  
 RATING 5 - OUTSTANDING DEGREE



CAREER SERVICE GROUP	DDP	DOI	DDS	TOTAL
PERCENT OF GROUP RATED 1	0%	0%	0%	0%
PERCENT OF GROUP RATED 2	1%	2%	1%	2%
PERCENT OF GROUP RATED 3	20%	21%	30%	24%
PERCENT OF GROUP RATED 4	54%	50%	51%	52%
PERCENT OF GROUP RATED 5	25%	27%	18%	22%

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Approved For Release 2006/10/17 : CIA-RDP82-00357R000700010002-5  
DISTRIBUTION BY GRADE GROUPS OF FITNESS REPORT RATINGS DESCRIPTIVE OF THE EMPLOYEE

**SECTION D**

RATING 1 - LEAST POSSIBLE DEGREE

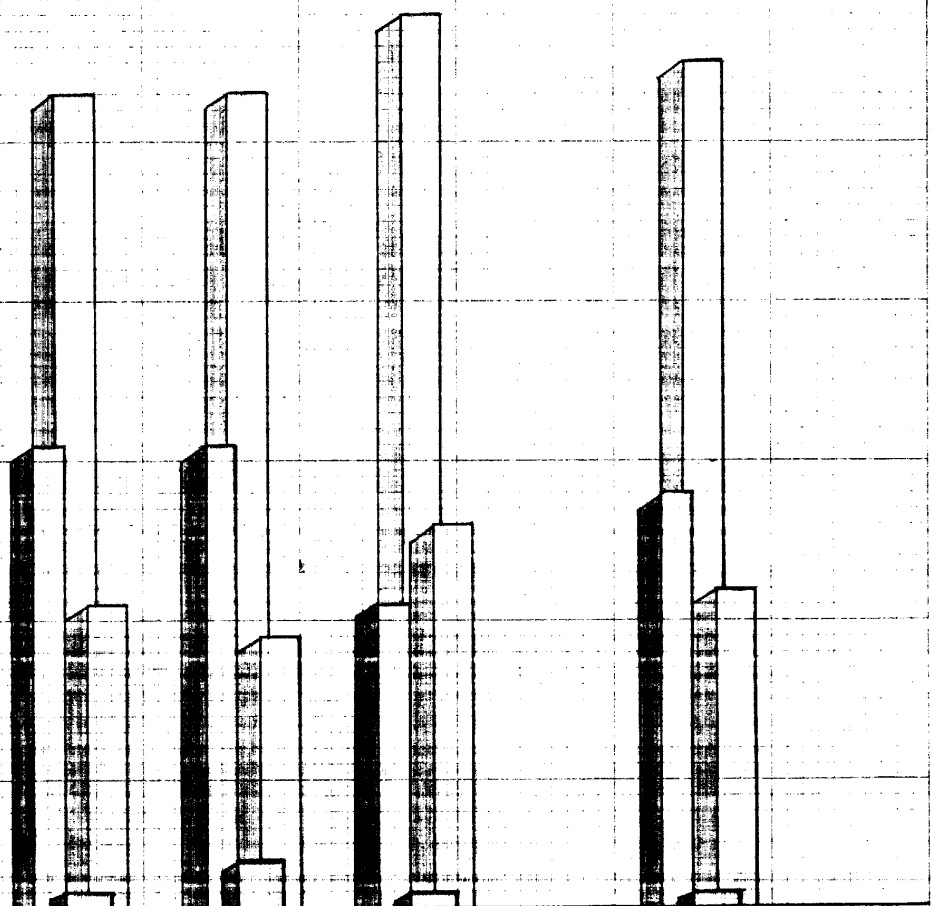
RATING 2 - LIMITED DEGREE

RATING 3 - NORMAL DEGREE

RATING 4 - ABOVE AVERAGE DEGREE

RATING 5 - OUTSTANDING DEGREE

50%  
40%  
30%  
20%  
10%  
0



GRADE GROUPS

GS-6 - 8

GS-9 - 11

GS-12 - 13

TOTAL (GS-6-13)

PERCENT OF GROUP RATED 1

0%

0%

0%

0%

PERCENT OF GROUP RATED 2

1%

3%

1%

1%

PERCENT OF GROUP RATED 3

29%

29%

19%

26%

PERCENT OF GROUP RATED 4

51%

51%

56%

53%

PERCENT OF GROUP RATED 5

19%

17%

24%

20%

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<b>FITNESS REPORT</b>						EMPLOYEE SERIAL NUMBER		
<b>SECTION A GENERAL</b>								
1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH		3. SEX		4. GRADE	
5. SERVICE DESIGNATION		6. OFFICIAL POSITION TITLE				7. OFF/DIV/BR OF ASSIGNMENT		
8. CAREER STAFF STATUS				9. TYPE OF REPORT				
<input type="checkbox"/> NOT ELIGIBLE		<input type="checkbox"/> MEMBER		<input type="checkbox"/> DEFERRED		<input type="checkbox"/> INITIAL		
<input type="checkbox"/> PENDING		<input type="checkbox"/> DECLINED		<input type="checkbox"/> DENIED		<input type="checkbox"/> ANNUAL		
10. DATE REPORT DUE IN O.P.		11. REPORTING PERIOD From To		SPECIAL (Specify)				
<b>SECTION B EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES</b>								
List up to six of the most important specific duties performed during the rating period. Insert rating number which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised).								
1 - Unsatisfactory		2 - Barely adequate		3 - Acceptable		4 - Competent		
5 - Excellent		6 - Superior		7 - Outstanding				
SPECIFIC DUTY NO. 1				RATING NO.	SPECIFIC DUTY NO. 4			
SPECIFIC DUTY NO. 2				RATING NO.	SPECIFIC DUTY NO. 5			
SPECIFIC DUTY NO. 3				RATING NO.	SPECIFIC DUTY NO. 6			
<b>SECTION C EVALUATION OF OVERALL PERFORMANCE IN CURRENT POSITION</b>								
Take into account everything about the employee which influences his effectiveness in his current position - performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal traits or habits, particular limitations or talents. Based on your knowledge of employee's overall performance during the rating period, place the rating number in the box corresponding to the statement which most accurately reflects his level of performance.								
1 - Performance in many important respects fails to meet requirements. 2 - Performance meets most requirements but is deficient in one or more important respects. 3 - Performance clearly meets basic requirements. 4 - Performance clearly exceeds basic requirements. 5 - Performance in every important respect is superior. 6 - Performance in every respect is outstanding.							RATING NO. <div style="border: 1px solid black; width: 40px; height: 40px; margin: 0 auto;"></div>	
<b>SECTION D DESCRIPTION OF THE EMPLOYEE</b>								
In the rating boxes below, check (X) the degree to which each characteristic applies to the employee								
1 - Least possible degree		2 - Limited degree		3 - Normal degree		4 - Above average degree		
5 - Outstanding degree								
CHARACTERISTICS						NOT APPLI- CABLE	NOT OB- SERVED	
GETS THINGS DONE								
RESOURCEFUL								
ACCEPTS RESPONSIBILITIES								
CAN MAKE DECISIONS ON HIS OWN WHEN NEED ARISES								
DOES HIS JOB WITHOUT STRONG SUPPORT								
FACILITATES SMOOTH OPERATION OF HIS OFFICE								
WRITES EFFECTIVELY								
SECURITY CONSCIOUS								
THINKS CLEARLY								
DISCIPLINE IN ORIGINATING, MAINTAINING AND DISPOSING OF RECORDS								
OTHER (Specify):								
SEE SECTION "E" ON REVERSE SIDE								

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**SECTION E****NARRATIVE DESCRIPTION OF MANNER OF JOB PERFORMANCE**

Stress strengths and weaknesses demonstrated in current position. Indicate suggestions made to employee for improvement of his work. Give recommendations for his training. Describe, if appropriate, his potential for development and for assuming greater responsibilities. Amplify or explain, if appropriate, ratings given in SECTIONS B, C, and D to provide the best basis for determining future personnel actions.

**SECTION F****CERTIFICATION AND COMMENTS**

1.

**BY EMPLOYEE***I certify that I have seen Sections A, B, C, D and E of this Report.*

DATE

SIGNATURE OF EMPLOYEE

2.

**BY SUPERVISOR**MONTHS EMPLOYEE HAS BEEN  
UNDER MY SUPERVISION

IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION

IF REPORT IS NOT BEING MADE AT THIS TIME, GIVE REASON.

EMPLOYEE UNDER MY SUPERVISION LESS THAN 90 DAYS

REPORT MADE WITHIN LAST 90 DAYS

OTHER (Specify):

DATE

OFFICIAL TITLE OF SUPERVISOR

TYPED OR PRINTED NAME AND SIGNATURE

3.

**BY REVIEWING OFFICIAL**

I WOULD HAVE GIVEN THIS EMPLOYEE ABOUT THE SAME EVALUATION.

I WOULD HAVE GIVEN THIS EMPLOYEE A HIGHER EVALUATION.

I WOULD HAVE GIVEN THIS EMPLOYEE A LOWER EVALUATION.

I CANNOT JUDGE THESE EVALUATIONS. I AM NOT SUFFICIENTLY FAMILIAR WITH THE EMPLOYEE'S PERFORMANCE.

COMMENTS OF REVIEWING OFFICIAL

DATE

OFFICIAL TITLE OF REVIEWING OFFICIAL

TYPED OR PRINTED NAME AND SIGNATURE

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FITNESS REPORT				EMPLOYEE SERIAL NUMBER	
<b>SECTION A GENERAL</b>					
1. NAME (LAST) (FIRST) (MIDDLE)			2. DATE OF BIRTH	3. SEX	4. GRADE 5. SD
6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT		8. CURRENT STATION
9. CHECK (X) TYPE OF APPOINTMENT			10. CHECK (X) TYPE OF REPORT		
<input type="checkbox"/> CAREER <input type="checkbox"/> RESERVE			<input type="checkbox"/> INITIAL <input type="checkbox"/> REASSIGNMENT SUPERVISOR		
<input type="checkbox"/> CAREER CONDITIONAL <input type="checkbox"/> TEMPORARY			<input type="checkbox"/> ANNUAL <input type="checkbox"/> REASSIGNMENT EMPLOYEE		
11. DATE REPORT DUE IN O.P.			12. REPORTING PERIOD (FROM- TO-)		
			<i>slightly less than satisfactory</i>		
<b>SECTION B PERFORMANCE EVALUATION</b>					
<p>W - Weak Performance ranges from wholly inadequate to borderline <i>simon half of the</i> satisfactory. A rating in this category requires positive remedial action. The nature of the action could range from counseling, to further training, to placing on probation, to reassignment or to separation.</p> <p>A - Adequate <i>Present</i> Performance meets all requirements. It is satisfactory and is neither characterized by deficiency or excellence.</p> <p>S - Strong Performance is more than satisfactory. Desired results are being produced in a proficient manner.</p> <p>O - Outstanding This rating signifies that the duty or job requirements are performed with remarkable proficiency.</p> <p>Performance is so exceptional in relation to requirements of the work and in comparison to the performance of others doing similar work as to warrant special recognition.</p>					
<b>SPECIFIC DUTIES</b>					
List up to six of the most important specific duties performed during the rating period. Insert rating letter which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (Indicate number of employees supervised).					
SPECIFIC DUTY NO. 1					RATING LETTER
SPECIFIC DUTY NO. 2					RATING LETTER
SPECIFIC DUTY NO. 3					RATING LETTER
SPECIFIC DUTY NO. 4					RATING LETTER
SPECIFIC DUTY NO. 5					RATING LETTER
SPECIFIC DUTY NO. 6					RATING LETTER
<b>OVERALL PERFORMANCE IN CURRENT POSITION</b>					
TAKE INTO ACCOUNT EVERYTHING ABOUT THE EMPLOYEE WHICH INFLUENCES HIS EFFECTIVENESS IN HIS CURRENT POSITION - PERFORMANCE OF SPECIFIC DUTIES, PRODUCTIVITY, CONDUCT ON JOB, COOPERATIVENESS, PERTINENT PERSONAL TRAITS OR HABITS, PARTICULAR LIMITATIONS OR TALENTS. BASED ON YOUR KNOWLEDGE OF EMPLOYEE'S OVERALL PERFORMANCE DURING THE RATING PERIOD, PLACE THE LETTER IN THE RATING BOX CORRESPONDING TO THE STATEMENT WHICH MOST ACCURATELY REFLECTS HIS LEVEL OF PERFORMANCE.					RATING LETTER



SECRET

## SECTION C

## NARRATIVE DESCRIPTION OF JOB PERFORMANCE

INDICATE SIGNIFICANT STRENGTHS OR WEAKNESSES DEMONSTRATED IN CURRENT POSITION KEEPING IN PROPER PERSPECTIVE THEIR RELATIONSHIP TO OVERALL PERFORMANCE. STATE SUGGESTIONS MADE FOR IMPROVEMENT OF WORK PERFORMANCE. GIVE RECOMMENDATIONS FOR TRAINING. AMPLIFY OR EXPLAIN, IF APPROPRIATE, RATINGS GIVEN IN SECTION B TO PROVIDE THE BEST BASIS FOR DETERMINING FUTURE PERSONNEL ACTION. MANNER OF PERFORMANCE OF MANAGERIAL OR SUPERVISORY RESPONSIBILITIES MUST BE DESCRIBED.

## SECTION D

## CERTIFICATION AND COMMENTS

## 1. BY EMPLOYEE

I ☐ AM ☐ AM NOT ATTACHING A STATEMENT REGARDING THE RATING IN THIS REPORT

I CERTIFY THAT I HAVE SEEN SECTIONS A, B, AND C OF THIS REPORT

DATE

SIGNATURE OF EMPLOYEE

## 2. BY SUPERVISOR

MONTHS EMPLOYEE HAS BEEN UNDER MY SUPERVISION

IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION

IF REPORT IS NOT BEING MADE AT THIS TIME, GIVE REASON.

EMPLOYEE UNDER MY SUPERVISION LESS THAN 90 DAYS

REPORT MADE WITHIN LAST 90 DAYS

OTHER (Specify):

DATE

OFFICIAL TITLE OF SUPERVISOR

TYPED OR PRINTED NAME AND SIGNATURE

## 3. BY REVIEWING OFFICIAL

COMMENTS OF REVIEWING OFFICIAL

DATE

OFFICIAL TITLE OF REVIEWING OFFICIAL

TYPED OR PRINTED NAME AND SIGNATURE

SECRET

DRAFT

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## DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

### GENERAL

#### 1. POLICY

It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals. Regulation [ ] outlines policies concerning the requirements for submitting initial, annual, reassignment and special reports, showing the report to the employee and appeals procedure. The Fitness Report, Form 45, is used to record evaluations. However, an evaluation in memorandum form may be substituted for Form 45 for employees in Grades GS-14 and above.

#### 2. SUBMISSION

The Fitness Report will be submitted in triplicate to the Head of the Career Service concerned. The Head of the Career Service will retain one copy and will forward the original and other copy to the Office of Personnel.

#### 3. INITIAL REPORT

A Fitness Report will be prepared for each employee as of nine months after his entrance on duty with the Organization. An initial report need not be made when a Fitness Report has already been made for some other purpose within 90 days prior to the due date of the initial report. The initial report is of particular importance in providing a record of the supervisor's evaluation of the employee before the employee has completed his twelve-month trial period. An initial report may be deferred for a period not to exceed 30 days beyond the due date to provide the supervisor with additional time to evaluate an employee who has been under his jurisdiction for less than 90 days.

#### 4. ANNUAL REPORT

A Fitness Report will be prepared annually for each employee, except when a Fitness Report has been made for some other purpose within 90 days prior to the due date of the annual report. An annual report may be deferred until the employee has been under the jurisdiction of the supervisor for 90 days.

### SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

<u>GRADES</u>	<u>FOR PERIOD ENDING</u>	<u>DUE IN OFFICE OF PERSONNEL</u>	
		<u>FROM HEADQUARTERS</u>	<u>FROM FIELD</u>
GS-1 through GS-5	31 March	30 April	31 May
GS-6 through GS-8	30 June	31 July	31 August
GS-9 through GS-11	30 September	31 October	30 November
GS-12 and GS-13	31 December	31 January	28 February
GS-14 and above	31 March	30 April	31 May

#### 5. REASSIGNMENT REPORT

A Fitness Report will be prepared whenever both the Immediate Supervisor of the employee and the Reviewing Official are changed by the reassignment of the employee. For the purpose of fitness reporting "Immediate Supervisor"

refers to the official who prepares and signs the Fitness Report of the employee concerned. When the supervisor is reassigned and has numerous reassignment reports to prepare he need complete only SECTION B of the Fitness Report.

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## DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

### SECTION A - GENERAL

The items of this section should be completed by the appropriate administrative or personnel officer. Special instructions for completing or omitting items of this part of the report should be carefully observed on Field Transmittal - Fitness Report Form 45a.

### SECTION B - EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES AND OF OVERALL PERFORMANCE

#### Rating Scale

The rating scale as set forth in this section in Form 45, Fitness Report, is to be used to reflect evaluation of Specific Duties and of Overall Performance. In making your selection of the appropriate adjective evaluation for Section II and in completion of the narrative in Section III the following factors should be considered:

Productivity	Mobility
Decisiveness	Records Discipline
Cooperativeness	Versatility
Initiative	Cost Consciousness
Resourcefulness	Security Consciousness
Supervisory Effectiveness	
Ability to Think Clearly	
Acceptance of Responsibility	
Effectiveness of Written Expression	
Effectiveness of Oral Expression	

#### Rating of Performance of Specific Duties

In this section the supervisor will list in order of importance the most significant duties the employee has performed during the rating period. Each duty shall be described in sufficient detail to provide information which may be useful later in considering individuals for other assignments. Your evaluation should be recorded by entering the appropriate letter in the box provided for your evaluation of each duty.

#### Rating of Overall Performance in Current Position

In making this rating the supervisor should take into account the employee's conduct on the job as well as his performance on all specific duties. Each supervisor will weigh these factors in his own mind so as to arrive at a rating which will reflect an employee's overall value on the job.

### SECTION C - NARRATIVE DESCRIPTION OF MANNER OF JOB PERFORMANCE

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. This may include comments regarding a specific duty by direct reference to that duty. Any relatively high or low ratings in Section II should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstances which affects the productivity and effectiveness of the employee. Comment should be made here on the relative performance of the person being rated with other people known to the rater doing comparable work.

### SECTION D - CERTIFICATION AND COMMENTS

The person being rated may attach to his fitness report a memorandum concerning any part of the report. The memorandum will be attached to the original for inclusion in the Official Personnel Folder.

Reviewing officials are responsible for assuring that all reports made by rating officials under their jurisdiction are consistent and reflect uniform standards of reporting. Through counseling and supervision of rating officials, the reviewing officials can play a major role in improving the operation of the Fitness Report program.

In addition, reviewing officials should as a matter of practice submit a brief narrative evaluation of the performance and potential of the individual being rated, noting the degree to which he is personally familiar with the individual and his work. Even though the reviewing official may not be able to evaluate the individual from firsthand experience with him, it is likely that the reviewing official may be able to contribute useful information concerning future utilization or training of the individual based on the review of his record of performance and assignments.

Some disagreement between the supervisor and the reviewing official when preparing evaluations is not unusual. In a situation where there are significant discrepancies between the evaluation of the supervisor and the reviewing official, the Director of Personnel will discuss the report with the Head of the Employee's Career Service and the employee will be informed of his standing and prospects by the Head of his Career Service.

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MEMORANDUM FOR: Director of Training

FROM :

[Redacted]

SUBJECT : Suggestion for a Course

1. I understand that the present Efficiency Rating Form is relatively new to the Agency. I also understand that Office of Personnel has not had any extensive briefing related to this Rating Form for supervisory personnel who must complete it.

2. May I suggest for your consideration, that DTR establish, in cooperation with Office of Personnel, a short course (perhaps 8 hours) with the specific objective of briefing/training Agency supervisors in principles of evaluation with respect to the Rating Form in order that all ratings may be as objective as possible.

3. Such a course would not be in the mechanics of Rating Form completion. It would include, however, aspects, principles, and theory related to Evaluation, Rating, and Criteria, etc. This course should be able to produce personnel responsible for making the ratings. Such personnel would have a firmer and more consistent definition of adjective meanings as well as a knowledge of evaluation and rating principles. Granted such a short-term course could not go deeply into theory but the short exposure of supervisory personnel to evaluation concepts might assist in producing more consistent and objective ratings throughout the Agency plus the fact that rater and ratee would have a better understanding of each person's meaning behind the completed Rating Form.

4. There are several different rating scales included in the new Rating Form, i.e., 5 point scales, 7 point scales, etc., each with different adjective levels and meanings. The directions on how to complete this Form include no suggestions as to definitions and meanings of the various rating levels nor such suggestions or directions as to whether the rater should try and rate the person against some known standard or criteria or against some similar group of people who the rater has known. Such a course might try and answer such problem areas at least to the extent of causing the rater to seriously consider all aspects of his rating designations, etc.

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